

DOCKET NO.: 5266P004X

MAR 26 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

MASATO OTSUKA, ET AL.

Application No.: 09/939,421

Filed: August 24, 2001

For: **METHOD OF CONTROLLING THE
OPERATIONS AND DISPLAY MODE OF
AN OPTICAL DISC PLAYER BETWEEN A
VIDEO PLAYBACK MODE AND A USER
AGENT MODE**

Art Group: 2652

Examiner:

COPY OF PAPERS
ORIGINALLY FILED
01/02/02

Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL OF FORMAL DRAWINGS

Sir:

Enclosed herewith for filing in the above-identified U.S. Patent Application are the formal drawings, 5 sheets including 7 Figures. Please charge any additional fees or credit any overpayment to Deposit Account No. 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

Blakely, Sokoloff, Taylor & Zafman LLP

Dated: November 14, 2001

George L. Fountain
George L. Fountain, Reg. No. 36,374

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
Telephone: (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: November 14, 2001.

Eric Hoover

11/14/01

Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

MASATO OHSUKA, ET AL.

Application No.: 09/939,421

Filed: August 24, 2001

For: METHOD OF CONTROLLING THE OPERATIONS AND
PLAYBACK MODE OF AN OPTICAL DISC PLAYER BETWEEN
PLAYBACK MODE AND A USER AGENT MODE

Attention: Box Missing Parts
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

In response to the Notice to File Missing Parts mailed September 13, 2001, please find enclosed:

- a duly executed Declaration and Power of Attorney and payment in the amount of \$240.00 for the surcharge of 37 CFR § 1.16(e);
- substitute drawings in compliance with 37 CFR § 1.16(e);
- a Petition for Extension of Time and payment in the amount of \$110.00; and
- and
- copy of the Notice to file Missing Parts of Application.

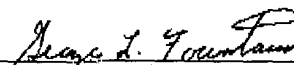
If any additional fee is required, please charge Deposit Account No. 02-2666. An extra copy of the Fee Transmittal is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: November 14, 2001.

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025


George L. Fountain, Reg. No. 36,374

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Eric Hoover
11/14/01
Date



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

MAR 26 2002

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/939,421 | 08/24/2001 | Masato Otsuka | 5266P004X |

08791

BLAKELY SOKOLOFF TAYLOR & ZAFMAN
12400 WILSHIRE BOULEVARD, SEVENTH FLOOR
LOS ANGELES, CA 90025COPY OF PAPERS
ORIGINALLY FILED
01/10/02

CONFIRMATION NO. 4119

FORMALITIES LETTER



00000000008551302

Date Mailed: 09/13/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

2020707 12466660

PTO/SB/21 (12/97)

Approved for use through 9/30/2000. OMB 0651-0031
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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MAR 26 2002

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01/02/02

| | | | |
|---|----|------------------------|-----------------|
| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Application No. | 09/939,421 |
| | | Filing Date | August 24, 2001 |
| | | First Named Inventor | Masato Otsuka |
| | | Group Art Unit | 2652 |
| | | Examiner Name | |
| Total Number of Pages in This Submission | 20 | Attorney Docket Number | 5266P004X |

ENCLOSURES (check all that apply)

| | | |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> cc of Notice to File Missing Parts; Form PTO/SB/08A; Transmittal of Formal Drawings; Declaration and Power of Attorney </div> |
| Remarks | | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual name | George L. Fountain, Reg. No. 36,374 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature | <i>George L. Fountain</i> |
| Date | November 14, 2001 |

CERTIFICATE OF MAILING/TRANSMISSION

| | | | |
|--|--------------------|------|-------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: | | | |
| November 14, 2001 | | | |
| Typed or printed name | Eric Hoover | | |
| Signature | <i>Eric Hoover</i> | Date | November 14, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

MAR. 26. 2002 3:33PM

BST&Z - CM

MAR 26 2002

NO. 0947 P. 15/33

PTO/SE-17 (10-01)

Approved for use through 10/31/2002 OMB 0551-0032

U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL
for FY 2000**

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$)

240.00

Complete if Known

Application No. 09/939,421
 Filing Date August 24, 2001
 First Named Inventor Masato Otsuka
 Examiner Name
 Group/Art Unit 2652
 Attorney Docket No. 5266P004X

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

- ☒
- Charge Any Additional Fee(s) Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

☐ Applicant claims small entity status See 37 CFR 1.27.

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|-----------------------|-----------------------|------------------------|----------|
| 101 740 | 201 370 | Utility filing fee | |
| 106 330 | 206 165 | Design filing fee | |
| 107 510 | 207 255 | Plant filing fee | |
| 108 740 | 208 370 | Reissue filing fee | |
| 114 160 | 214 80 | Provisional filing fee | |

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims 28
 Independent Claims 4
 Multiple Dependent

Extra Claims: ** = ☐ X ☐
 Fee from below: ☐ X ☐

| Large Entity Fee Code | Small Entity Fee Code | Fee Description |
|-----------------------|-----------------------|---|
| 103 16 | 203 9 | Claims in excess of 20 |
| 102 84 | 202 42 | Independent claims in excess of 3 |
| 104 280 | 204 140 | Multiple Dependent claim, if not paid |
| 109 84 | 209 42 | **Reissue independent claims over original patent |
| 110 18 | 210 9 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

**or number previously paid, if greater. For Reissues, see below

FEE CALCULATION (continued)**3. ADDITIONAL FEE**

| Large Entity Fee Code | Small Entity Fee Code | Fee Description | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | 130.00 |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | Extension for reply within first month | 110.00 |
| 116 400 | 216 200 | Extension for reply within second month | |
| 117 920 | 217 460 | Extension for reply within third month | |
| 118 1,440 | 218 720 | Extension for reply within fourth month | |
| 128 1,960 | 228 980 | Extension for reply within fifth month | |
| 119 320 | 219 160 | Notice of Appeal | |
| 120 320 | 220 160 | Filing a brief in support of an appeal | |
| 121 280 | 221 140 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,280 | 241 640 | Petition to revive - unintentional | |
| 142 1,280 | 242 640 | Utility issue fee (or reissue) | |
| 143 460 | 243 230 | Design issue fee | |
| 144 620 | 244 310 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | |
| 123 50 | 123 50 | Processing fee under 37 CFR 1.17(g) | |
| 126 180 | 126 180 | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | |
| 146 740 | 246 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 740 | 249 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 740 | 279 370 | Request for Continued Examination (RCE) | |
| 169 900 | 169 900 | Request for expedited examination of a design application | |

Other fee (specify)

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

240.00

SUBMITTED BY

Name (Print/Type) George L. Fountain

Registration No. (Attorney/Agent)

36,374

Telephone

(714) 557-3800

Signature

George L. Fountain

Date

11/14/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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